

National Transportation Safety Board

Annual Performance Report

Fiscal Year 2016



**National
Transportation
Safety Board**

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Executive Summary

As required by the [*Government Performance and Results Modernization Act of 2010*](#) (*GPRA Modernization Act of 2010*), each federal agency must report annually on its progress in meeting the goals and objectives established by its strategic plan. The National Transportation Safety Board's (the NTSB's) Fiscal Year (FY) 2016 Annual Performance Report presents to the President, Congress, and the American people detailed information about progress in meeting the NTSB's strategic goals and objectives and performance metrics. This report builds upon the framework laid in the [*NTSB's strategic plan*](#).

The FY 2016 Annual Performance Report captures the full spectrum of NTSB's activities to accomplish national priorities in five modes of transportation—aviation, highway, marine, railroad, and pipeline. This report is defined in the following sections:

NTSB Mission and Organizational Structure summarizes how the agency is organized, governed, and managed.

Performance Management at NTSB summarizes the agency's approach to performance management, strategic planning, and performance reporting, as well as how the agency uses data, evidence, evaluations, and reporting to manage performance. It concludes with a high-level summary of performance for FY 2016.

Performance Reporting and Planning presents NTSB's Annual Performance Report organized by strategic goal and strategic objective. It shows up to three years of historical performance. This presentation provides a unique opportunity to see performance trends across multiple years within a program, as well as the linkages between multiyear performance goals and their annual components and how these performance metrics support the strategic objectives.



Mission and Organizational Structure

Mission/Vision

To be a Premier Organization Improving
Transportation Safety

Legislative Mandate

Maintaining our congressionally mandated
independence and objectivity;

Conducting objective, precise accident
investigations and safety studies;

Performing fair and objective airman and
mariner certification appeals;

Advocating and promoting safety
recommendations; and,

Assisting victims of transportation accidents
and their families.

Core Values

Safety

Excellence

Independence

Integrity

Diversity and Inclusion; and,

Transparency

The National Transportation Safety Board (NTSB) is an independent federal agency charged by Congress with investigating every civil aviation accident in the United States and significant accidents in other modes of transportation—railroad, highway, marine and pipeline. The NTSB determines the probable cause of the accidents and issues safety recommendations aimed at preventing future accidents. In addition, the NTSB carries out special studies concerning transportation safety and coordinates the resources of the federal government and other organizations to provide assistance to victims and their family members impacted by major transportation disasters.

NTSB HISTORY

The NTSB originated in the Air Commerce Act of 1926, in which the US Congress charged the US Department of Commerce with investigating the causes of aircraft accidents. Later, that responsibility was given to the Civil Aeronautics Board's Bureau of Aviation Safety when it was created in 1940. In 1967, Congress consolidated all transportation agencies into a new US Department of Transportation (DOT) and established the NTSB as an accident investigation agency within the newly created DOT. In 1974, Congress passed the Independent Safety Board Act, which severed the NTSB's ties to the DOT.



The NTSB's Vital Role in Transportation Safety

With the responsibility vested by Congress to investigate every civil aviation accident in the United States and significant accidents in other modes of transportation—railroad, highway, marine, and pipeline, the NTSB determines the probable cause of accidents and develops recommendations that will prevent future accidents or reduce their effects in terms of injury, loss of life, or damage to property. Safety recommendations are a focal point of NTSB's effort to improve the safety of the nation's and the world's transportation systems and are issued to agencies, industry, and other organizations in a position to effect change.

The NTSB promotes transportation safety, assists victims of transportation accidents and their families, conducts safety studies, and prepares accident reports based on investigation and analyses of transportation accident and incident data. NTSB investigations are used to determine factors common to a series of events and to identify safety improvements or evaluate the effectiveness of transportation-related devices or policies. Safety studies enhance the NTSB's corporate knowledge, enabling it to better perform our transportation safety mission. Additionally, the NTSB serves as the appellate authority for enforcement actions involving aviation and mariner certificates issued by the Federal Aviation Administration (FAA) and US Coast Guard (USCG), as well as the appeals of civil penalty actions taken by the FAA.

Since the NTSB's inception in 1967, we have investigated more than 144,000 aviation accidents and thousands of surface transportation accidents. On call 24 hours a

day, 365 days a year, NTSB investigators traveled throughout the country and to every corner of the world. The NTSB is recognized as the world's leading accident investigation agency.

The NTSB has issued more than 14,400 safety recommendations to more than 2,300 recipients in all transportation modes as a result of our investigations. Since 1990, the NTSB has published a [*Most Wanted List*](#) (MWL) of transportation safety improvements, which highlights safety-critical actions that the DOT modal administrations, USCG, and others should take to help prevent accidents and save lives.

The NTSB does not have authority to regulate transportation equipment, personnel, or operations or to initiate enforcement action. However, because of our reputation for objectivity and thoroughness, the NTSB has achieved such success in shaping transportation safety improvements that, over the last 5 years, those who are in a position to effect these changes have implemented more than 71 percent of the agency's recommendations. Many safety features currently incorporated into airplanes, helicopters, automobiles, commercial motor vehicles, trains, pipelines, and marine vessels had their genesis in these recommendations.





Organizational Structure

NTSB's organizational structure is designed to accomplish its mission through sound business, management, and safety oversight. The NTSB has five Board Members, each nominated by the President and confirmed by the Senate to serve 5-year terms. One Member is designated by the President as Chairman and another as Vice Chairman for 2-year terms. The chairmanship requires separate Senate confirmation. When there is no designated Chairman, the Vice Chairman serves as Acting Chairman. Figure 1 depicts NTSB's organizational structure, current as of October 2016.

The NTSB Chairman serves as the chief executive officer for the agency. The Chairman, Vice Chairman, and Board Members establish policies on transportation safety issues; review and approve major accident reports, safety studies, and safety recommendations; and provide appellate review of FAA certificate and certain civil penalty actions, as well as USCG license actions. They also preside over accident or other transportation safety hearings, testify before congressional committees, and participate in agency go-teams on major investigations.

The NTSB's headquarters office is located in Washington, DC. The NTSB also has investigators strategically located in Ashburn, Virginia; Denver, Colorado; Anchorage, Alaska; and Seattle, Washington (see the figure 2 for NTSB's US regional presence). The Office of Aviation Safety has organized the staff assigned in the 48 contiguous states into three mega-regional offices; Alaska forms a fourth region. In addition, two aviation investigators are based in Hawaii.

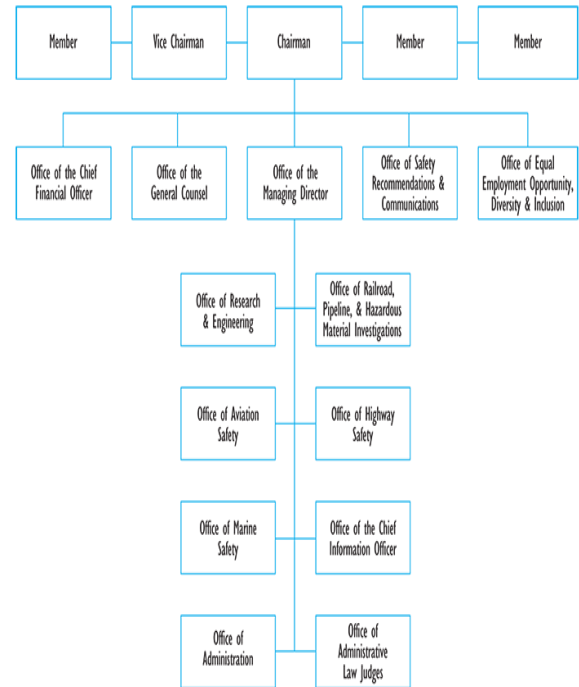


Figure 1: NTSB Organization Chart

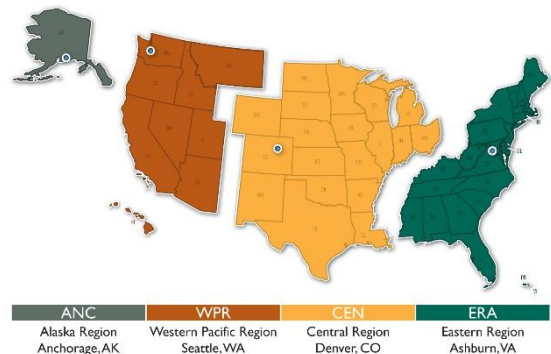


Figure 2: NTSB Regional Presence



Performance Management

In accordance with the [*GPRA Modernization Act of 2010*](#), the NTSB's framework for performance management starts with the [*NTSB's Strategic Plan*](#), which serves as the foundation for establishing long-term priorities and developing performance goals, objectives, and metrics by which the NTSB can gauge achievement of its stated outcomes. Progress toward the NTSB's *Strategic Plan* is measured using quarterly reviews and analysis. This focus promotes active management engagement across the NTSB. Additional information is available in the [*NTSB's Strategic Plans and Reports*](#).

Strategic Goals Overview

NTSB developed a new strategic plan in 2012 to encompass the period from FY 2013 to 2017. This plan identifies four strategic goals and 9 related objectives which influence the day-to-day work at the NTSB. The four strategic goals are:

- ❖ Goal 1: Conduct effective accident investigations
- ❖ Goal 2: Recommend and advocate actions to improve transportation safety
- ❖ Goal 3: Conduct fair and expeditious adjudication of airman and mariners appeals from the Federal Aviation Administration and the U.S. Coast Guard enforcement actions and certificate appeals
- ❖ Goal 4: Provide outstanding mission support

Management Objectives and Priorities

The structure of the FY 2013-2017 NTSB *Strategic Plan* aligns Strategic Goals 1 through 3 to mission-focused efforts while Strategic Goal 4 aligns to NTSB's overall management objectives to support the mission and mandates for the agency. The emphasis on efficiency, transparency, accountability, and effectiveness of NTSB programs in Goal 4 serves to highlight efforts across the agency to enable enhanced program performance in strengthening program integrity, creating innovations for data access and use, investing in the NTSB workforce, and promoting sustainability. See figure 3 which showcases this performance framework.



Figure 3: NTSB Performance Goal Framework

Performance Management

Performance goals and measurement are powerful tools to advance an effective, efficient, and productive government. NTSB regularly collects and analyzes performance data to inform decisions. NTSB staff constantly strives to achieve meaningful progress and find ways to achieve positive impacts.

The NTSB continually improves its performance management which leads to more consistent performance results across NTSB's mission and makes the best use of the resources entrusted to the agency. Over the past several fiscal years, this performance-based culture has remained a focus of agency management and staff and continues to be enhanced during FY 2016 as the performance measures and target levels were evaluated throughout the year. The NTSB is optimistic that its results-oriented culture will continue to evolve and promote better governance in the future, leading to further improvements in transportation safety.

Reporting on Progress

Continuous improvement rests on ongoing cycles of assessing performance, examining data, and employing lessons learned to improve practices internally and externally. Creating a culture of continuous improvement is at the heart of the NTSB's efforts to see better performance results overall. The NTSB is committed to doing its part to bring innovative ideas, convening influence, and any other resources that will help achieve the outcomes to improve transportation safety.



Assessment Rating Scales and Success Criteria

NTSB evaluates its progress towards achieving its performance metrics on a traffic light rating system (i.e., the green, yellow, and red color ratings). NTSB uses these success criteria, combined with explanations of the ratings and sources provided by program officials, to review and validate each rating. On occasion, NTSB will assign a gray rating to a performance metric that cannot be assessed against its success criteria for various reasons, including a change in data availability or re-assessment of the metric determined as not feasible for measurement, etc.

Table 1: Performance Metrics Results Criteria

Rating	Status
Green	Target achieved
Yellow	Progress being made
Red	Minimal progress
Gray	Not assessed

Key Factors Affecting the Achievement of the Strategic Goals

The NTSB's ability to achieve our strategic goals may be influenced by the changing balance of industry operations, other federal, state, and local government activities, national priorities, market forces, and resource availability. The following factors may affect the achievement of strategic goals for fiscal year 2016:

- Advances in new technologies in all modes of transportation
- Challenges in achieving closure of significant recommendations.
- Retaining and recruiting staff with critical technical experience.
- Retirement or attrition of key personnel.
- Budgetary constraints, including fluctuations in appropriations.



Performance Reporting and Planning

Summary of Performance Results

We set aggressive targets for our FY 2016 metrics and met 100% of the 16 metrics tracked. Below is a highlighted assessment of our performance results in FY 2016.

- ❖ **62** products were adopted by the Board as compared to a target of **34**. Along with accident reports, this measure includes safety hearings, forums, symposiums, as well as special investigative reports. Below are a few of the products adopted:
 - [Rear Seat Safety in Passenger Vehicles](#) (Workshop)
 - [A Dialogue on What's Next in Rail Tank Car Safety](#) (Roundtable Discussion)
 - [PIREPs: Pay it Forward...Because Weather for One is Weather for None](#) (Forum)
 - [Loss of Control: Training Solutions](#) (Safety Seminar)
 - [Pedestrian Safety](#) (Forum)
- ❖ The NTSB excelled in outreach by conducting **563** outreach efforts, more than doubling the target of **278** to advance transportation safety with industry and stakeholders, resulting in improved safety results. Notably, we expanded this metric to include the Office of Safety Recommendations and Communications which had a large majority of the efforts with **339** which included advocacy items on and off the Most Wanted List (MWL). This change was made to showcase the importance of our outreach efforts on a yearly basis.
- ❖ The NTSB excelled with a new baseline metric that spotlights the many additional non-Board adopted products the agency uses to improve transportation safety, by producing **667** products, as compared to a target of **394**. These products included delegated briefs, videos, newsletters, safety accomplishments and results.
- ❖ The Offices of Aviation and Marine Safety completed **27** international cooperative outreach activities, which is more than double the target of **15**. Increased launches and responding to requests for assistance from international counterparts helped the offices achieve their goal.
- ❖ The Office of Administrative Law Judges disposed of **71%** of cases received as compared to a target of **70%**. Even with more complex cases being heard, the office was able to achieve its goal.
- ❖ Management was successful in supporting EEO and diversity outreach, employee engagement, and inclusion actions. SES conducted 41 EEO and diversity outreach activities as compared to a target of **22**. In addition, **44** different engagement and inclusion actions were implemented by managers as compared to a target of **24**. SES mentoring, training on the New Inclusion Quotient (IQ) helped staff increase knowledge, and implementation of various office actions helped to encourage engagement and employee satisfaction.



Strategic Goals, Objectives and Performance Metrics

Strategic Goal 1: Conduct effective accident investigations

Strategic Goal No. 1 focuses on the NTSB's key challenges of identifying those accidents in each transportation mode that represent the most important targets of investigative opportunity, conducting safety studies to help to prevent similar accidents in the future, as well as producing other products to improve transportation safety. Our status as an independent federal agency sets us apart from other stakeholders in the transportation industry. Our most important stakeholder is the traveling public, and we are concerned with one principal objective: promoting transportation safety. Conducting independent accident investigations is a critical component of our mission, and it is done with transparency, accountability, and integrity, which are core values of the agency.

The NTSB is obligated to participate in aviation investigations in foreign countries when they involve US carriers or US-manufactured or -designed equipment. These efforts help ensure the continued safe operation of US-built or -designed aircraft. In addition, we have a strong international marine program, under which we investigate major marine casualties involving foreign flagged vessels in US territorial waters and those involving US-flagged vessels anywhere in the world. Our participation in foreign aviation investigations has led to improvements in aviation and marine safety here and abroad. NTSB-led domestic investigations have also benefitted from the participation of other international accident investigation agencies. Our role in international activities for all modes of transportation includes unique challenges but with our continued advocacy and outreach, we can showcase lessons learned and improve awareness of these investigations nationally and internationally.

Accomplishing Strategic Goal No. 1 will foster a transportation industry that is better prepared to address safety issues. The NTSB applies the following objectives, strategies, and performance metrics to achieve this goal:



<u>Strategic Objectives</u>	<u>Performance Metrics</u>
1.1: Select and scale an appropriate response to accident investigations and incidents	Number of products adopted by the Board Average time (in months) to complete Board adopted products Number of products produced to improve transportation safety
1.2: Select and appropriately scale the NTSB's work on international accidents, incidents, and safety issues	Number of international cooperative activities completed
1.3: Continue to effectively coordinate and deliver transportation disaster assistance to accident victims	Percent of transportation disaster assistance support provided to major aviation and rail accident investigations as legislated
1.4: Engage in Outreach with Transportation Community to Improve awareness of Lessons Learned from Accident Investigations Nationally and Internationally	Number of outcome-oriented safety results involving industry or government stakeholders

Strategies

- Increase the number of products to improve transportation safety.
- Continue to advance our role in international accidents and to participate in investigations in foreign countries.
- Assist disaster victims in all modes of transportation.
- Continue to showcase how we improve the transportation community through the many products we produce, including accident briefs, videos, newsletters, safety accomplishments and results.
- Increase advocacy efforts on emerging safety issues through ongoing dialogue with relevant government and other stakeholders, testimony, and other public communications.

Performance Analysis

Working with Congress, other government agencies, and industry groups, the NTSB takes an active role in leading efforts for a safer transportation system. During FY 2016, the NTSB adopted 62 products. The NTSB conducted 563 outreach efforts to advance transportation safety among industry and government stakeholders, which led to important safety results. With our continued focus of improving transportation safety, we ensure that we spotlight all our work on improving safety; therefore, in FY 2016, we expanded our definition of outreach efforts to include our Office of Safety Recommendations and Communication, advocacy related outreach on the MWL, as well as, non-MWL items.

Also, in FY 2016, we established a new baseline metric to emphasize other transportation and safety products produced to improve transportation safety. These could include solutions that investigators develop that can be readily implemented because they do not involve significant funding or changes



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to regulations. The purpose is to track all agency work used to improve transportation safety. The number of products produced to improve transportation safety for FY 2016 was 667 as compared to a target of 394. Products may include but are not limited to the following: delegated briefs, regional aviation briefs, videos, newsletters, safety accomplishments or results as tracked by the modal offices and other significant or newly created products.

Table 2: Goal 1 Performance Metrics 3-year history

Goal	Indicator	2014 Actual	2015 Actual	2016 Target	2016 Actual
OK1.1.1 OP	Number of products Adopted by the Board				
	AS	29	25	15	18
	HS	10	18	7	20
	MS	4	5	4	5
	RPH	14	31	2	11
	RE	5	10	8	8
1.1.2 EF	Average time (in months) to complete Board-adopted reports				
	AS	8.4	14.5	<16	7
	HS	6	7	<16	8
	MS	12	6.9	<16	11.4
	RPH	6	8.1	<16	5
	RE	7	5	<16	4.5
1.1.3 OP	Number of Products Produced to Improve Transportation Safety				
	AS	N/A	N/A	220	321
	HS	N/A	N/A	12	20
	MS	N/A	N/A	6	22
	RPH	N/A	N/A	6	8
	SRC	N/A	N/A	150	296
1.2.1 OP	Number of International Cooperative Activities Completed				
	AS	14	29	11	22
	MS	4	3	4	5
1.3.1 OP	Percent of Transportation Disaster Assistance (TDA) Support Provided to Major Aviation and Rail Accident Investigations as Legislated	100%	100%	100%	100%
1.4.1 OC	Number Outcome-Oriented Safety Results				
	AS	12	29	75	78
	HS	15	25	6	29
	MS	2	4	4	15
	RPH	5	13	6	46
	RE	8	4	12	56
	SRC	N/A	N/A	175	339

Key Challenges and Issues

The cost of transportation accidents to society is significant, and as activity in the US transportation system grows, so will the potential for accidents and associated costs. Accompanying this growth are enormous increases in the system's complexity, which must be addressed with techniques and methods of accident investigation that are equally complex. A key challenge for the NTSB is to identify those accidents in each transportation mode that represent the most important targets of investigative opportunity and to determine the appropriate scope and scale of such investigations. This selection process must balance the significance of the safety issues involved against the limited



investigative resources available to the NTSB and the depth of the investigation required to develop the safety issues.

To conduct thorough accident investigations, NTSB investigators must stay abreast of the latest technology in the transportation industry; this requires substantial and continuing training. The NTSB is challenged to identify the available resources and staff to provide training in these areas and schedule timely and appropriate training, working around the number and timing of accidents and the limited number of NTSB investigators. The number of major accidents worldwide that NTSB aviation and marine safety staff participates in has increased with 27 major foreign accident investigations annually, on average. This level of international participation for aviation safety presents a particular challenge because the office must also continue to meet its mandate to investigate all aviation accidents in the United States. In addition, marine international accidents involving foreign-flagged vessels accounted for 38 percent of NTSB marine accident investigations during the past 5 years.

Strategic Goal 2: Recommend and advocate actions to improve transportation safety

Because our mission is to be a premier organization improving transportation safety, Strategic Goal No. 2, which affects the safety of the entire transportation system, cascades into strategic objectives that emphasize advocacy and outreach. Issuing, advancing, and closing safety recommendations are key NTSB functions. This goal also emphasizes our need to promote safety issues on and off the Most Wanted List (MWL). The MWL is designed as a transparent tool to increase awareness of, and support for, the most critical changes needed to reduce transportation accidents and save lives. Leveraging our unique position in the safety industry, we believe it is necessary to lead the transportation community with integrity to ensure that emerging safety issues are being addressed and that political leadership is aware of public policy implications.

To achieve this goal, the NTSB applies the following objectives, strategies, and metrics:

<u>Strategic Objectives</u>	<u>Performance Metrics</u>
2.1: Identify New and Creative Ways to Advocate Safety Recommendations and Other Safety Actions	Number of safety recommendations closed acceptably during the fiscal year



Strategies

- Implement appropriate safety recommendations from investigations and safety studies.
- Publicly recognize safety recommendations that are implemented and those that being unimplemented, result in persistent risk.
- Publicize the up-to-date status of all safety recommendations through the NTSB website and other public communication channels.

Performance Analysis

This metric indicates performance on implementation of safety recommendations—the heart of the agency’s mission. This metric counts the number of recommendations closed acceptably during the fiscal year. Implementation of safety recommendations is largely outside of staff control and depends on more factors than can be listed, such as economic conditions, funding levels, and the current political climate.

Table 3: Goal 2 Performance Metric 3-year history

Goal	Indicator	2014 Actual	2015 Actual	2016 Target	2016 Actual
2.1.1	Number of recommendations closed acceptably over last five years	159	110	75	81

Key Challenges and Issues

The nation’s level of transportation activity, which highly correlates with its economic activity, continues to increase. As our skies, highways, waterways, and railways become more congested, the potential for transportation accidents increases. With limited resources, the NTSB is challenged to identify ways to achieve implementation of its open safety recommendations.

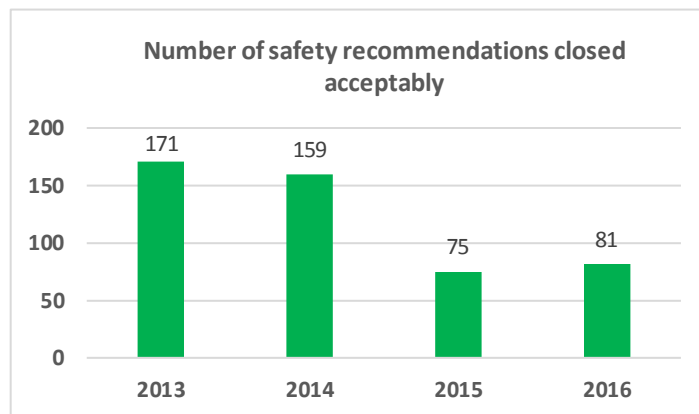


Figure 4: Four-year analysis of safety recommendations

Finally, because of the length and complexity of the rulemaking process, federal agencies are frequently not implementing NTSB recommendations in a timely fashion. The NTSB is challenged to ensure that the rulemaking process, which can take years, does not hamper the successful implementation of recommendations. Figure 4 shows the number of recommendations closed acceptably has decreased over the last 4 years, only 486 recommendations have been closed acceptably.



Strategic Goal 3: Conduct fair and expeditious adjudication of airman and mariners appeals from the Federal Aviation Administration and the U.S. Coast Guard enforcement actions and certificate appeals

Strategic Goal No. 3 recognizes our continuing commitment to providing a fair appeals process for airmen and mariners to ensure thorough and independent adjudication while providing due process to those affected and safeguarding the integrity of the aviation and marine safety enforcement system.

Strategies

- Continue to increase administrative law judges' case closure rate.
- Continue to decrease non-emergency backlog cases on hand.

<u>Strategic Objectives</u>	<u>Performance Metrics</u>
3.1 Effectively manage the appeals process and appropriately protect the rights of airmen and mariners seeking the NTSB's review while balancing their interests with considerations of aviation and marine safety	Total number of non-emergency enforcement backlog cases on hand
	Percentage of total cases disposed during the fiscal year

Performance Analysis

The agency continues to strive to keep the number of non-emergency enforcement backlog less than 15 cases on hand. Although cases have become more complex, the Office of Administrative Law Judges, continues to meet its target on closing cases for the fiscal year.

Table 4: Goal 3 Performance Metrics 3-year history

Goal	Indicator	2014 Actual	2015 Actual	2016 Target	2016 Actual
O3.1.1 OC	Percentage of total cases disposed during the fiscal year	66%	79%	70%	71%
3.1.2 OP	Total number of non-emergency enforcement backlog cases on hand	8	4	<15	4

Key Challenges and Issues

The NTSB serves as the “court of appeals” for airmen and mariners facing the loss or suspension of their licensing certificates or the imposition of a civil penalty. As the level of transportation activity increases, the potential for transportation accidents increases, resulting in more enforcement cases; consequently, effective management of the appeals process becomes more challenging. We will continue to promote transportation safety by adjudicating appeals of certificate actions and denials, providing due process to those affected, and ensuring the integrity of the aviation and maritime safety enforcement system.



Strategic Goal 4: Provide outstanding mission support

Providing mission support in achieving our first three goals is imperative if we are to retain our leadership in influencing changes, increasing transparency and outreach, and advancing transportation safety. Strategic Goal no. 4 captures the overall nature of the organization—excellence—and ensures that we are able to fulfill our broad mission.

The strategic objectives for this goal concern maintaining agency resources; effectively managing financial resources, improving employee safety and health knowledge, human capital, diversity, and inclusion; and maintaining effective communications. This goal emphasizes the agency's challenge to enhance our management of information and data to ensure reliable and consistent information for management and staff. We remain focused on hiring the right people and effectively capturing and transferring knowledge.

We foster a culture of leadership, diversity, and accountability that enables decision-making while promoting teamwork and collaboration. In addition, we strive to meet challenges with innovation and urgency. Collectively, these efforts support our fulfillment of this strategic goal as well as our mission of independently advancing transportation safety.

To achieve this goal, the NTSB applies the following strategies:

Strategies

- Provide accurate, timely, and useful financial information to agency managers and staff to support effective decision-making.
- Manage agency information and employ IT to improve the productivity, effectiveness, and efficiency of agency programs and to enhance the availability and usefulness of information to all users, both within and outside the agency.
- Use innovative strategies to recruit, develop, and retain a high-quality, diverse workforce.
- Create an agency-wide performance culture focused on individual and organizational accountability to achieve the NTSB's programmatic goals and priorities.
- Sustain a learning environment that provides for continuing improvement in performance through knowledge management, performance feedback, engagement, training, coaching, and mentoring.
- Continue to foster a work environment that is free from discrimination and provides maximum opportunities for all employees to use their diverse talents in support of the NTSB's mission and goals.
- Continue to identify new and improved methods of communicating internally and externally.



<u>Strategic Objectives</u>	<u>Performance Metrics</u>
4.1 Ensure efficiency in utilizing agency resources and financial data for management decision-making	Obtain a modified or better opinion on financial statements
	Operate an effective management controls program
	Implement IT solutions to increase innovation and collaboration into the NTSB's mission and administrative processes
	Percentage of regulation parts updated each year
4.2 Align and improve human capital planning and diversity	Number of activities supporting EEO and Diversity Outreach
4.3 Improve employee engagement, satisfaction, and inclusion	Number of employee engagement, satisfaction, and inclusion actions
	Percentage of staff trained on the New Inclusion Quotient

Performance Analysis

Monitoring and efficient use of Federal funds is a key element in maintaining outstanding stewardship of resources and our performance demonstrates NTSB's ability to utilize and control budgetary resources efficiently and effectively. By focusing on the efficiency and effectiveness of internal controls and processes, we promote accuracy in the reporting of financial and non-financial information. The agency is committed to improving the operational efficiency and effectiveness of the agency by fully leveraging information technology in support of mission and support requirements. We strive to have information technology services that support and improve key work processes. The Office of the Chief Information Officer conducted analysis of the portal redesign and determined the upgrade should be put on hold for additional re-assessment in FY 2017; therefore, it was not counted in FY 2016 performance. Finally, for the first time this fiscal year, we provide analysis of our regulatory parts to ensure we are up to date as prescribed by [Executive Order 13579](#), "Regulation and Independent Regulatory Agencies," issued July 11, 2011. This order directs independent regulatory agencies to review all regulations to ensure they are up-to-date and comply with the principles articulated in the order.

In FY 2016, we report on three additional new baseline metrics to demonstrate our commitment to our staff by encouraging satisfaction, engagement, as well as diversity and inclusion. Management at all levels made it a priority to mentor and institute new practices that addressed barriers to communication. Staff were trained on the New IQ which promotes an ideology which fosters five inclusive habits: fairness, openness, cooperation, support, and empowerment. The agency exceeded its target 25% of staff trained on the New IQ by having 60% trained during the fiscal year.



Table 5: Goal 4 Performance Metrics 3-year history

Goal	Indicator	2014 Actual	2015 Actual	2016 Target	2016 Actual
4.1.1 OC	Obtain a modified or better opinion on financial statements	Yes	Yes	Yes	Yes
4.1.2 OC	Operate an effective management controls program	Yes	Yes	Yes	Yes
4.1.3 OC	Implement IT solutions to increase innovation and collaboration into the NTSB's mission and administrative processes	12	7	5	4 ¹
4.1.4 OC	Percentage of regulation parts updated each year	N/A	N/A	20%	20%
4.2.1 OP	Number of activities supporting EEO and Diversity Outreach	N/A	N/A	1 per Office Director & Deputy (22)	41
4.3.1 OP	Number of employee engagement, satisfaction, and inclusion actions	N/A	N/A	2 actions per office (24)	44
4.3.2 OP	Percentage of staff trained on the New Inclusion Quotient (<i>agency cumulative metric</i>)	N/A	N/A	25%	60%

Key Challenges and Issues

The NTSB has earned a reputation for thorough and independent investigation of transportation accidents. To maintain that reputation, we are committed to continuing to develop the managerial, leadership, and workforce skills needed to ensure the quality of the accident investigations for which we are well known. This initiative includes the entire NTSB organization—investigative offices, business support offices, and agency leadership. We are faced with the challenge of developing our workforce in an environment of technological changes and dwindling resources.

This challenge is addressed by effective long-range planning and excellent communications. Long range planning in human capital management, as well as in core operations, ensures that the NTSB is fully equipped to deal with any future investigative needs. The NTSB's enhanced focus on planning results in a workforce and processes that are capable and flexible enough to respond effectively to any and all issues and challenges. Effective communications at all levels of the organization ensure that we continually improve our plans and processes. We will devote time and resources to thinking strategically, promoting employee engagement, as well as encouraging the development of our staff. To achieve our long-term vision, we must effectively plan and communicate while maintaining our primary commitment to improve transportation safety. We believe that the initiatives in place will provide the necessary balance to ensure success with this strategic goal.

¹ The Office of the Chief Information Officer conducted analysis of the portal redesign and determined the upgrade should been put on hold for additional re-assessment in FY 2017; therefore, was not counted in FY 2016 performance.



Acronyms and Abbreviations

Acronym	Full Name
AD	NTSB Office of Administration
AS	NTSB Office of Aviation Safety
ALJ	NTSB Office of Administrative Law Judges
CFO	NTSB Office of the Chief Financial Officer
CIO	NTSB Office of the Chief Information Officer
EEODI	NTSB Office of Equal Employment Opportunity, Diversity, and Inclusion
EF	Efficiency Measure
GC	Office of the General Counsel
GPRMA	Government Performance and Results Modernization Act of 2010
HS	NTSB Office of Highway Safety
MD	NTSB Office of the Managing Director
MS	NTSB Office of Marine Safety
MWL	NTSB Most Wanted List
NTSB	National Transportation Safety Board
New IQ	The New Inclusion Quotient
OC	Outcome Measure
OP	Output Measure
OMB	Office of Management and Budget
RPH	NTSB Office of Railroad, Pipeline and Hazardous Materials Investigations
RE	NTSB Office of Research and Engineering
SRC	NTSB Office of Safety Recommendations and Communications
TDA	NTSB Transportation Disaster Assistance Division